

Substitute Form PTO-1449 (Modified) Information Disclosure Statement by Applicant (Use several sheets if necessary) (37 CFR §1.98(b))	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 09857-027001	Application No. 09/401,872
	Applicant Richard G. Ketchum et al.		
	Filing Date September 23, 1999	Group Art Unit	

U.S. Patent Documents

Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date If Appropriate
	AA						
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
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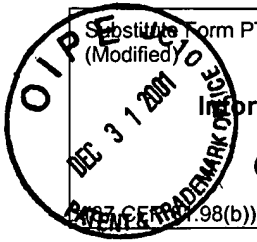
Foreign Patent Documents or Published Foreign Patent Applications

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
	AL							
	AM							
	AN							
	AO							
	AP							

Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
N.L.	AQ	Securities and Exchange Commission, Proposed Rule Change, NASD, Inc., 2/5/99, 61 pps.
	AR	
	AS	
	AT	

Examiner Signature <i>N. Subramanian</i>	Date Considered <i>June 14, 02</i>
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	


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 Applicant
 Richard G. Ketchum

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U.S. Patent Documents

Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date If Appropriate
N. J.	AA	5,297,032	3-22-94	Trojan et al.	364	408	
	AB						
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Foreign Patent Documents or Published Foreign Patent Applications

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
N. J.	AL	WO 91/14231	19.09.91	PCT				
N. J.	AM	WO 98/13778	2.4.98	PCT				
	AN							
	AO							
	AP							

Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
N. J.	AQ	"Nasdaq Workstation II", Nasdaq Stock Market, Inc., May 1999, pps. 1-17, XP002171886 (www.nasdaqtrader.com/trader/tradingservices/productservices/userguides/userguides.stm).
N. J.	AR	"Self Regulatory Organizations: Notice of Filing of Proposed Rule Change by the National Association of Securities Dealers, Inc.", Federal Register - Securities and Exchange Commission, Vol. 64, No. 47, March 11, 1999, pps. 12198-202, XP002171885 (198.17.75.65/fril/).
N. J.	AS	Reich, Benny and Ben-Shaul, Israel: "A Componentized Architecture for Dynamic Electronic Markets", Sigmod Record, Vol. 27, No. 4, December 1998, pps. 40-47, XP002171887 (www.acm.org).

Examiner Signature

N. Subramaniam

Date Considered

6/14/02

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N. J.	AT	"Self Regulatory Organizations: Notice of Filing of Proposed Rule Change by the National Association of Securities Dealers, Inc." Federal Register – Securities and Exchange Commission, Vol. 64, No. 77, April 22, 1999, pps. 19844-49, XP002171896 (198.17.75.65/fril/).

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